

07-16-01

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PATENT APPLICATION

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Docket No: 30203/37265

PATENT APPLICATION TRANSMITTAL UNDER 37 C.F.R. 1.53

Box Patent Application Commissioner for Patents Washington, D.C. 20231

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Transmitted herewith for filing is the patent application of

Inventor(s):

Roger L. Frick and Charles R. Willcox

Title:

INTEGRATED TRANSPARENT SUBSTRATE AND DIFFRACTIVE OPTICAL ELEMENT

- 1. Type of Application
 - - □ utility patent.
 - □ design patent.
 - This application is based on Provisional Applications Serial Nos. 60/223,503, filed August 7, 2000; 60/223,508, filed August 7, 2001; and 60/271,103, filed February 23, 2001.
- 2. Application Papers Enclosed
 - 1 Title Page
 - 14 Pages of Specification (excluding Claims, Abstract, Drawings & Sequence Listing)
 - 7 Page(s) of Claims
 - 1 Page(s) of Abstract
 - 8 Sheet(s) of Drawings (Figs. 1 to 8)
 - □ Formal
 - ☑ Informal
 - O Page(s) of Sequence Listing

CERTIFICATION UNDER 37 CFR 1.10

I hereby certify that this Patent Application Transmittal and the documents referred to as enclosed therewith are being deposited with the United States Postal Service on **July 13**, **2001**, in an envelope addressed to the Commissioner for Patents, Washington, D.C. 20231 utilizing the "Express Mail Post Office to Addressee" service of the United States Postal Service under Mailing Label No. EL564458469US.

Paul B. Stephens

6.

3.	D clar	ation ı	r Oath				
			Enclos	sed			
				Execu	ted by (check all applicable boxes)	
					Invent	or(s)	
					-	representative of inventor(s) FR 1.42 or 1.43)	
						inventor or person showing a proprietary interest on of inventor who refused to sign or cannot be reached	
						The petition required by 37 CFR 1.47 and the statement required by 37 CFR 1.47 are enclosed. See Item 5D below for fee.	
		⊠		ation on		dersigned attorney or agent is authorized to file this of the applicant(s). An executed declaration will	
4.	Small	Entity S	Status				
	. 🗆	Applic	plicant claims small entity status. See 37 CFR 1.27.				
			A sma	all entity	statem	ent is(are) attached.	
5.	Additio	onal Pa _l	pers Enc	losed		·	
			Prelim	inary Aı	mendme	nt	
			Inform	nation D	isclosur	e Statement	
			Decla	ration of	Biologi	cal Deposit	
			-		dable co equence	ppy of sequence listing containing nucleotide and/or	
			Micro	fiche co	mputer	program	
			Assoc	iate Pov	ver of A	attorney	
			Verifie	ed trans	lation of	a non-English patent application	
			An as	signmen	nt of the	invention ,	
			Reque	st and (Certifica	tion Under 35 U.S.C. 122(b)(2)(B)(i)	
		×	Returr	n receipt	t postca	rd	
			Other				

Priority Applications Under 35 USC 119

Copies of applications from which priority under 35 USC 119 is claimed are listed below and

□ are attached.

COUNTRY	APPLICATION NO.	FILED
United States	60/223,503	August 7, 2000
United States	60/223,508	August 7, 2000
United States	60/271,103	February 23, 2001

7. Filing Fee Calculation (37 CFR 1.16)

A. Utility Application

CLAIMS AS FILED - INCLUDING PRELIMINARY AMENDMENT (IF ANY)							
			SMALL	ENTITY	OTHER THAN A SMALL ENTITY		
	NO. FILED	NO. EXTRA	RATE	FEE	RATE	FEE	
BASIC FEE				\$355.00		\$710.00	
TOTAL	46-20	= 26	X 9 =	\$ 0	X 18 =	\$468.00	
INDEP.	4-3	= 1	X 40 =	\$ 0	X 80 =	\$80.00	
☐ First Presentation of Multiple Dependent Claim			+ 135 =	\$ O	+ 270 =	\$0.00	
			Filing Fee:	\$O	OR	\$1258.00	

В.		Design Application (\$160.00/\$320.00) Filing F	ee: \$						
C.		Plant Application (\$245.00/\$490.00) Filing F	ee: \$						
D.	Other	Other Fees							
		\$							
		Petition fee for filing by other than all the inventors or person on behalf of the inventor where inventor to sign or cannot be reached [Fee \$130.00]	\$						
		Other		\$					

Total Fees Enclosed \$1204.00

8. Meth d of Payment f Fees

 \boxtimes Enclosed check in the amount of: \$1204.00

 \boxtimes Charge Deposit Account No. 13-2855 in the amount of: \$54.00 A copy of this Transmittal is enclosed.

Not enclosed

9. **Deposit Account and Refund Authorization**

The Commissioner is hereby authorized to charge any deficiency in the amount enclosed or any additional fees which may be required during the pendency of this application under 37 CFR 1.16 or 37 CFR 1.17 or under other applicable rules (except payment of issue fees), to Deposit Account No. 13-2855. A copy of this Transmittal is enclosed.

Please refund any overpayment to Marshall, O'Toole, Gerstein, Murray & Borun at the address below.

10. **Correspondence Address**

July 13, 2001

Customer No.: 04743

Respectfully submitted,

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By:

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